



2161

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas C. Naratil Group Art Unit: 2161  
Serial No.: 09/688,392 Examiner: Mary Benton  
Filed: October 16, 2000 Docket No. 4797-60  
For: **SYSTEM AND METHOD FOR TRADING TAXABLE AND  
NONTAXABLE SECURITIES**

55 Madison Avenue  
Morristown, NJ 07960  
September 7, 2001

Assistant Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

RECEIVED  
NOV 07 2001  
Technology Center 2100

STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [ ☒ ] the assignee of the entire right, title, and interest; or
2. [ ☐ ] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
  - A. [ ☐ ] an assignment from the inventor(s) of the patent application identified above.  
The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. [ ☐ ] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ to: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ to: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

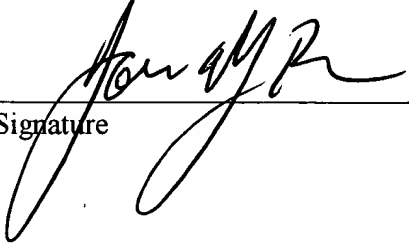
[       ] Additional documents in the chain of title are listed on a supplemental sheet.

[    ✓    ] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01

  
Signature

John J. Burke  
Name

Associate General Counsel  
Title



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Assistant Commissioner of Patents  
Box Assignments  
Washington, D.C. 20231

**RECEIVED**  
NOV 07 2001  
Technology Center 2100

**DECLARATION OF OWNERSHIP PURSUANT TO 37 CFR § 2.20**

1. I, John J. Burke, hereby declare that I am an Associate General Counsel for UBS PaineWebber Inc. ("UBS PaineWebber").

2. UBS PaineWebber was formed pursuant to a merger agreement between UBS AG ("UBS") and Paine Webber Group Inc. PaineWebber Incorporated ("PaineWebber") was a wholly owned subsidiary of Paine Webber Group Inc. UBS PaineWebber filed a Certificate of Amendment of Certificate of Incorporation, which is attached hereto, on March 5, 2001, with the Delaware Secretary of State to reflect the corporate name change.

3. UBS PaineWebber, a Delaware corporation with offices at 1200 Harbor Blvd. Weehawken, New Jersey 07087, has acquired all right, title and interest in and to all assets and liabilities of PaineWebber, including all patents, trademarks and other intellectual property of PaineWebber. A list of patent applications currently filed with the U.S. Patent Office is attached hereto as Exhibit A.

4. The undersigned being warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements and the like may jeopardize the validity of the application or document or any registration resulting therefrom, declares that all statements made of his/her own knowledge are true; and all statements made on information and belief are believed to be true.

Dated: September 6, 2001

  
\_\_\_\_\_  
John J. Burke, Esq.  
Associate General Counsel

MRP  
10-16-00

11-24-2000

FORM PTO-1595  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)

REC



U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

101525915

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying parties:

Thomas C. Naratil

Additional name(s) & party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: October 13, 2000

2. Name and address of receiving party(ies):

Name: PaineWebber Incorporated

Internal Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

1200 Harbor Boulevard

City: Weehawken State: NJ Zip: 07087

Additional name(s) & address(es) attached?

☐ Yes ☒ No

3C925 U.S. PTO  
09/688392  
10/16/00

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: October 16, 2000

A. Patent Application No.(s) Filing date

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Leslie Gladstone Restaino, Esq.

Internal Address: \_\_\_\_\_

Riker, Danzig, Scherer, Hyland & Perretti LLP

Street Address: \_\_\_\_\_

Headquarters Plaza

One Speedwell Avenue

City: Morristown State: NJ Zip: 07962

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41) .....\$ \$40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

50-0444

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Leslie Gladstone Restaino

Name of Person Signing

*Leslie Gladstone Restaino*

Signature

10/16/2000

Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

11/24/2000 AAHME1 00000065 500444 09688392

01 FC:581 40.00 CH

# ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 4034-20

WHEREAS, I, Thomas C. Naratil, a resident of Warren, County of Warren, State of New Jersey.  
(hereinafter "Assignor") have invented certain new and useful improvements in  
**SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES**  
(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF  
THE UNITED STATES, which application has been duly executed by Assignor on  
the day(s) and date(s) of these presents.

AND WHEREAS, PAINWEBBER INCORPORATED, a corporation organized and existing under the laws of  
the State of Delaware, U.S.A., having a place of business at 1200 Harbor Boulevard, Weehawken, New Jersey, U.S.A.,  
hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within  
the United States of America and its territorial possessions and all foreign countries and any United States or foreign  
LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is  
hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said  
Assignee the entire right, title and interest in and to the said invention, within the United States of America and its  
territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign  
countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues,  
continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in  
foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by  
treaty, including any international convention, for the protection of industrial property, together with the right to extend  
the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be  
hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use  
and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS  
PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this  
assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents  
and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the  
invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor  
will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful  
and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining,  
sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said  
invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly  
in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 13th day of October, 2000

Thomas C. Naratil

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

STATE OF New Jersey )  
 ) ss.:  
COUNTY OF Hudson )

On this 13<sup>th</sup> day of October, 2000 before me personally appeared

Thomas C. Naratil

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 18, 2004

My commission expires:

STATE OF \_\_\_\_\_ )  
 ) ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ before me personally appeared

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Notary Public

My commission expires:

STATE OF \_\_\_\_\_ )  
 ) ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ before me personally appeared

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Notary Public

My commission expires:

Assignment

Thomas C. Naratil

TO

PAINWEBBER INCORPORATED

INVENTION:

SYSTEM AND METHOD FOR  
TRADING TAXABLE AND NON-  
TAXABLE SECURITIES

Docket No.: 4034-20

PaineWebber Incorporated  
1200 Harbor Boulevard  
Weehawken, New Jersey 07087

*State of Delaware*  
**Office of the Secretary of State** PAGE 1

---

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "PAINWEBBER INCORPORATED", CHANGING ITS NAME FROM "PAINWEBBER INCORPORATED" TO "UBS PAINWEBBER INC.", FILED IN THIS OFFICE ON THE FIFTH DAY OF MARCH, A.D. 2001, AT 9 O'CLOCK A.M.



*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State

0719006 8100

AUTHENTICATION: 1245744

010336619

DATE: 07-16-01

CERTIFICATE OF AMENDMENT OF CERTIFICATE OF INCORPORATION  
OF  
PAINWEBBER INCORPORATED

It is hereby certified that:

1. The name of the corporation (hereinafter called the "corporation") is PaineWebber Incorporated.
2. The certificate of incorporation of the corporation is hereby amended by striking out Article I thereof and by substituting in lieu of said Article I the following new Article I:

ARTICLE I

NAME

The name of the corporation is:

UBS PaineWebber Inc.

3. The amendment of the certificate of incorporation herein certified has been duly adopted and written consent has been given in accordance with the provisions of Sections 141, 228 and 242 of the General Corporation Law of the State of Delaware.

Signed on *march 5, 2001*

By: *Geraldine L. Banyai*  
Geraldine L. Banyai, Corporate Vice President

Attest: *Richard P. Borovoy*  
Richard P. Borovoy, Assistant Secretary



UBS PAINEWEBBER INC.

Incumbency Certificate

I, Richard P. Borovoy, Assistant Secretary of UBS PaineWebber Inc., a Delaware corporation (the "Company"), DO HEREBY CERTIFY as follows:

The below-named person has been duly elected, has duly qualified and at all subsequent times to and including the date hereof, has been an officer of the Company, holding the office set opposite his name, and the signature below set opposite his name is his genuine signature or true facsimile thereof:

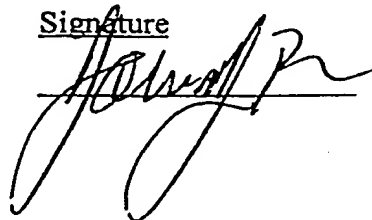
Name

Office

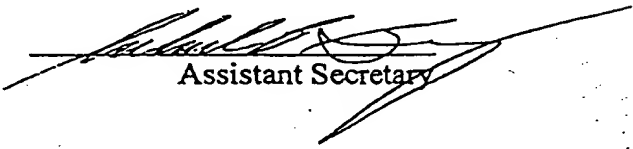
Signature

John J. Burke

Corporate Vice President



IN WITNESS WHEREOF I have hereunto set my hand and affixed the seal of the Corporation this 19<sup>th</sup> day of March, 2001.



Assistant Secretary



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JANUARY 24, 2001

PTAS

RIKER, DANZIG, SCHERER, HYLAND ET AL  
LESLIE GLADSTONE RESTAINO, ESQ.  
HEADQUARTERS PLAZA  
ONE SPEEDWELL AVENUE  
MORRISTOWN, NJ 07962



\*101525915A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/16/2000

REEL/FRAME: 011255/0548  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
NARATIL, THOMAS C.

DOC DATE: 10/13/2000

ASSIGNEE:  
PAINWEBBER INCORPORATED  
1200 HARBOR BOULEVARD  
WEEHAWKEN, NEW JERSEY 07087

SERIAL NUMBER: 09688392  
PATENT NUMBER:

FILING DATE: 10/16/2000  
ISSUE DATE:

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS